

**REQUEST FOR APPLICATIONS
To Qualify as Certifier for
California Climate Action Registry
Participants**

REQUEST FOR APPLICATIONS

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Gray Davis, Governor

CALIFORNIA ENERGY COMMISSION

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The California Energy Commission (Energy Commission) staff welcomes your comments and suggestions for improving this Request For Applications (RFA) at any time.

Energy Commission staff relied upon comments from many individuals and organizations as well as examples from existing programs to develop the qualification process contained in this RFA. As directed by legislation, the Energy Commission has made efforts to be consistent with federal and international programs. A selection of sources and website addresses that were consulted in developing this RFA is listed below.

California Senate Bill 527 (SB 527, Sher, Chapter 769, Statutes of 2001)

[http://www.energy.ca.gov/global_climate_change/documents/]

U.S. Environmental Protection Agency Conflict Of Interest Web Page

[<http://www.epa.gov/oam/ptod/COI/COIindex.htm>].

Kyoto Protocol Clean Development Mechanism Modalities and Procedures

[<http://unfccc.int/cdm/rules/modproced.html>].

Kyoto Protocol Clean Development Mechanism Designated Operational Entity

[<http://unfccc.int/cdm/doe.html>]

[<http://unfccc.int/cdm/accforms2.htm>]

Securities and Exchange Commission Proposed Rule Regarding Auditor Independence

[<http://www.sec.gov/rules/proposed/33-8154.htm>]

ANSI ISO 14000 National Accreditation Program

[<http://www.ansi.org/>]

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INTRODUCTION

What is this Request For Applications? Its purpose?

This document, the Request For Applications (RFA), contains the screening and evaluation process by which the [State](#) will provide approval to qualified firms to act as certifiers for California Climate Action Registry (Registry) participants. The Registry is a public nonprofit corporation that records certified greenhouse gas (GHG) emissions data for California entities.

The purpose of this RFA is to solicit for firms or teams of firms that wish to become state-approved certifiers. Certification is the process by which a state and Registry-approved certifier would evaluate and report their evaluation of a Registry participant's GHG program and emissions inventory data.

Why would my firm want to be a state-approved certifier?

Only firms that have been state-approved under this RFA will be able to act as certifiers under the Registry program. Only staff for which required information has been submitted to the California Energy Commission (Energy Commission) will be allowed to conduct certifications. Firms that meet the required qualifications contained in this document will be placed on an Energy Commission list of state-approved providers. After approved providers complete a Registry certification training workshop, the firm may begin to conduct certifications for Registry participants. Approved certifiers' company information will also be listed on the Registry's website www.climateregistry.org.

How are certifiers paid (Who employs certifiers)?

State-approved firms DO NOT work for the State or Registry, nor will they be paid by the State or Registry, as a result of this qualification process.

Firms that are approved by the State as qualified (but not yet Registry-approved) to provide certification services to a Registry participant will be placed on an Energy Commission approved list. After a firm fulfills any additional Registry requirements, the Registry will list the firm on the Registry list of approved service providers. Then, a Registry participant may contract with firms on that list to provide services at the participant's request. The terms and conditions of payment will be set by the Registry participant and the certifier.

What are the key topics in which all applicants should be knowledgeable?

All applicants are expected to be knowledgeable in the following areas:

- the purpose of the Registry,
- the General Reporting and Certification Protocols,
- engineering principles,
- GHG emissions estimation techniques,
- evaluating air emissions inventories,
- auditing and accounting principles.

Will the Energy Commission evaluate conflict of interest?

Yes. Conflict of interest (COI) will be evaluated during the application process and on a case-by-case basis before each certification. COI requirements are explained in detail in Part III, Section 2.

What are the steps in a certification?

The steps in a typical certification are summarized below.

1. Registry participant tentatively selects certifier.
2. Certifier submits case-specific Evaluation of Conflict of Interest Form to Energy Commission.
3. Energy Commission sends COI Determination Letter to certifier.
4. If the Energy Commission determines that the risk of a COI is low or that a COI risk can be avoided, neutralized or mitigated by the certifier, the certifier and participant finalize contract for certification services; otherwise, the Registry participant must select a different certifier.
5. Certifier submits a Notification of Certification Activities Form to Energy Commission and Registry.
6. Certifier conducts the certification.
7. Certifier prepares Certification Report and Certification Opinion Letter for participant.
8. Certifier and participant discuss Certification Report and Opinion Letter.
9. Certifier completes Certification Form via Registry's online reporting tool, CARROT.
10. Registry completes the certifier and participant's reporting process to the Registry.

What experience is expected of an applicant?

State-approved certifiers must be qualified to perform certifications for Registry participants under the General Reporting Protocol. Applicants must demonstrate relevant experience in all areas of the certification process. The certification process is discussed in greater detail in Part II of this document and fully explained in the reference documents cited below.

Are there other requirements to qualify?

Yes. As previously stated, certifiers must be qualified to certify participants under the Registry's General Reporting Protocol. This capability should extend to any Registry participant, regardless of the number or complexity of the GHG emissions sources. Therefore, the Energy Commission expects a level of staffing with diverse expertise and number adequate to certify any potential Registry participant's data. An applicant without adequate staffing to qualify under the General Reporting Protocol may be able to qualify under a future industry-specific protocol, if it demonstrates adequate expertise and staffing relevant to the future protocol.

Also, applicants must demonstrate financial stability and capability adequate to meet liability that may be incurred in the certification process. These requirements are discussed in detail in Part III.

Can I partner with other organizations?

Yes. Any organization with whom the applicant chooses to partner with can be used to meet the necessary minimum qualifications.

If any designated staff are employed by a company other than the applicant, then the company for which they work shall be considered a partner. If experience is that of a parent company or subsidiary of a parent company, then the parent or subsidiary shall be considered a partner. If financial capability relies upon a parent company, then the parent company shall be considered a partner.

To the extent that qualifications were established by using the experience and expertise of the partners, the partners' services must be utilized for certification services requiring that expertise. Conversely, a partner of an approved applicant cannot provide certification services except in conjunction with the approved applicant.

If partnering, the applicant and any/all partners should submit separate forms, as indicated in Section III, within the application. These forms should include only the information pertaining to their companies.

Can I subcontract certification services?

No. State-approved certifiers may not subcontract certification services, unless the subcontractor is recognized as a partner in the state approval process as having submitted the necessary information to the Energy Commission.

How do I respond to this RFA?

To be considered as an applicant, a firm will submit an application, with all necessary administrative forms as discussed in Part III of this document, to the Energy Commission by February 28, 2003. Every application must establish in writing the applicant's knowledge base, experience, and other relevant qualifications. Applicants will be scored based on criteria established in Part III of this document and summarized in Part IV.

How will applications be evaluated?

Applications will be evaluated in three stages.

1. The Energy Commission will screen applications to ensure that they are complete and conform to the required format.
2. An Evaluation Committee, organized by the Energy Commission, will review and score the applications based on pre-defined criteria.
3. For applications that do not meet the minimum required score, or are close to the minimum required score, the Evaluation Committee will conduct interviews with applicants to clarify the applicant's qualifications.

Are there limitations on state approval?

At this time, firms will only be state approved to certify GHG emission results under the Registry's *General GHG Emissions Reporting Protocol*. Later, firms may apply to be state-approved for specific industry sectors as industry-specific protocols are developed. Registry participants for whom there is an industry-specific protocol must be certified according to that industry-specific protocol by the year following the adoption of such an industry-specific protocol. Certifiers must obtain state and Registry-approval before providing certification services for a Registry participant in a sector for which there is an industry-specific protocol. For certifiers that have already been state and Registry-approved under the General Reporting Protocol, the state and Registry-approval process to act as a certifier under an industry-specific protocol may be significantly abbreviated.

Firms will be listed for a period of three years, during which time they are eligible to be selected by Registry participants for certification services. After three years, a firm must re-apply to maintain state approval.

At any time, a firm can be disqualified as a state-approved certifier if the Energy Commission, in consultation with the Registry, determines that the firm:

- is no longer qualified due to changes in staffing or other criteria,
- has not complied with the Registry's certification and certifier policies, or
- has not maintained the professional standards expected of state-approved certifiers.

How will my firm be notified of the results of the evaluation?

Applicants will be notified of the results by mail. Applicants that are determined to be qualified by the Energy Commission will be listed on the Energy Commission's website as state-approved certifiers.

Are there additional steps before certifiers will be able to provide certification services?

Yes. After a firm is approved through the qualification process described in this RFA, the Energy Commission will provide the Registry with a list of state-approved certifiers. At this point, the Registry may have additional requirements that the certifier may have to fulfill before the Registry lists a certifier as approved to provide services to Registry participants. These requirements may include certification training sessions or administrative requirements.

Will there be another RFA in the future?

Yes. The Energy Commission anticipates that it will issue RFA's on a periodic basis.

The Energy Commission anticipates refining and possibly modifying the qualification process as the Energy Commission and Registry gain experience through Registry participation. Subsequent RFA's will reflect these changes as necessary. Current state and Registry-approved certifiers will be notified of changes, and subject to new or modified requirements as they are adopted, which may be prior to an approved certifier's three year renewal.

What are the key activities and dates?

Key activities and times for this RFA are presented below. This is a tentative schedule, please call the Energy Commission's Climate Change Program staff (contact information listed below) to confirm dates.

ACTIVITY	ACTION DATE
RFA Release	January 31, 2003
Conference Call to Answer Questions	February 12, 2003
Deadline to Submit Application	March 14, 2003
Interviews	March 24 - 31, 2003
List of Approved Providers Sent to Registry	April 7, 2003*
Next RFA Release	July 2003

*Or ten (10) days after all COI information is received, whichever is later.

How can I obtain further information?

A conference call will be arranged to answer any questions. Please call (916) 657-4774 to confirm the time and date. Applicants with questions are encouraged to participate in this conference call.

Wednesday, February 5, 2003
10 a.m. Pacific Standard Time

Are there reference documents?

Applicants responding to this RFA should be familiar with the following documents:

- General Reporting Protocol (October 2002)
- Certification Protocol (October 2002)

These documents can be accessed on the Registry's website at <www.climateregistry.org>.

The following documents listed below which can be accessed on the Energy Commission's web site at <www.energy.ca.gov/global_climate_change/documents/>

- Conflict of Interest Process and Requirements For State and Registry-Approved Certifiers

Who should I contact?

Questions or clarifications about this RFA should be directed to:

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This RFA is available through the Energy Commission's website at:

[<www.energy.ca.gov/global_climate_change/>](http://www.energy.ca.gov/global_climate_change/)

Any verbal communication with an Energy Commission employee concerning this RFA is not binding on the State and shall in no way alter a specification, term, or condition of this RFA.

What are my responsibilities in submitting an application?

Applicants must take responsibility to:

- Carefully read the entire RFA,
- Ask the appropriate questions in a timely manner,
- Submit all required responses in a complete manner by the required date and time,
- Make sure that all procedures and requirements of the RFA are followed and appropriately addressed,
- Review Grounds for Rejection on page 26.

OVERVIEW OF THE REGISTRY AND THE CERTIFICATION PROCESS

The history and purpose of the Registry

The California Climate Action Registry is a nonprofit, public benefit corporation that accepts California and national reports on GHG emissions from companies with operations in California. The Registry was established in September 2000 when California Senate Bill (SB) 1771 (Cal. Health & Safety Code §§42800 *et seq.*) was signed into law. SB 1771 was developed with input from various stakeholders including business, government, and the environmental communities. In October 2001, SB 527 replaced most of the original legislation, clarifying the roles and responsibilities of the Registry and Energy Commission.

The Registry held its first board meeting on November 13, 2001. It has since held meetings in March, June, and November of 2002. The Registry launched its operations in order to welcome its Charter Members on October 24, 2002. The 23 organizations that agreed to participate in the Registry before the launch were designated lifetime Charter Members. Two Certification Training Workshops were held in December 2002. Approved certifiers and technical assistance providers were invited to attend. These workshops presented the Registry's and the state's intentions and expectations from the Reporting and Certification processes.

As outlined in SB 527, the purposes of the Registry are as follows:

- to help various entities in the State to establish emissions baselines that may be applied against any future federal greenhouse gas emissions reduction requirements;
- to encourage voluntary actions to increase energy efficiency and reduce greenhouse gas emissions;
- to enable participating entities to voluntarily record greenhouse gas emissions made after 1990 in a consistent format that is certified;
- to ensure that sources in the State receive appropriate consideration for certified emissions results under any future State, federal or international regulatory regime relating to greenhouse gas emissions;
- to recognize, publicize, and promote participants in the registry; and to recruit broad participation in the process.

The General Reporting and Certification Protocols

In June 2002, the Registry Board of Directors adopted the recommendations of the Energy Commission as embodied in two Energy Commission documents: *Guidance to the California Climate Action Registry: General Reporting Protocol*, and the *Guidance to the California Climate Action Registry: Certification Protocol*. As directed by the Board of Directors, the Registry's General Reporting and Certification Protocols are based on that guidance.

The General Reporting Protocol provides the framework for businesses, governmental bodies, and nonprofit organizations to participate in the Registry. The Protocol provides the principles, approach, methodology, and procedures required for effective participation. The document was prepared by the Registry to support the complete, transparent, and accurate reporting of organization's greenhouse gas emissions. It is designed to guide participants on the rules, methods, and standards required for reporting emissions to the Registry via the Registry's web-based reporting system.

The Certification Protocol is intended to be used in combination with the Registry's General Reporting Protocol and web-based calculation and reporting tools. Approved Certifiers will certify participants' GHG Emission Reports against the Registry's General Reporting Protocol using the process outlined in the Certification Protocol.

The Registry Protocols can be accessed on the Registry's website at www.climateregistry.org.

Steps in a certification

While the specific certification activities will differ based on the length and complexity of a participant's Emission Report, the certification process will include the following steps:

1. **Registry participant tentatively selects certifier:** Registry participant contacts one or more state and Registry-approved certifiers to discuss certification activities. Participant selects an organization to certify its GHG emissions results and begins to negotiate contract terms.
2. **Certifier submits case-specific Evaluation of Conflict of Interest Form:** After a participant tentatively chooses a certifier, the certifier must submit an Evaluation of Conflict of Interest Form to the Energy Commission to establish that the likelihood of a COI between parties is low or that risk of any conflict can be sufficiently avoided, neutralized, or mitigated by the certifier.
3. **Energy Commission sends COI Determination Letter to certifier:** The Energy Commission reviews the Evaluation of Conflict of Interest Form and supporting information to determine the level of risk associated with the proposed participant/certifier relationship, and notifies the certifier of its determination.
4. **If the Energy Commission determines there is little risk of COI, the certifier and participant finalize the contract for certification services; otherwise, the Registry participant must select a different certifier:** When the Energy Commission provides a favorable COI determination between a participant and certifier, certifiers may finalize their contract with the Registry participant.
5. **Certifier submits a Notification of Certification Activities Form to Energy Commission and Registry:** Certifier must complete and submit a Notification of

Certification Activities Form to the Energy Commission and Registry at least 10 business days prior to beginning certification activities.

6. **Certifier conducts the certification:** Certifier follows the guidance in the Certification Protocol to evaluate a participant's Annual GHG Emission Report.
7. **Certifier prepares Certification Report and Certification Opinion Letter for participant:** Certifier prepares a detailed summary (Certification Report) of the certification activities for the participant. Certifier also prepares a Certification Opinion Letter for participant's review, prior to sending the opinion to the Registry.
8. **Certifier and participant discuss Certification Report and Opinion Letter:** Certifier meets with participant to discuss Certification Report and Opinion Letter.
9. **Certifier completes Certification Form via CARROT:** Once authorized by a participant, a certifier completes the Certification Form via the Registry's online reporting tool, CARROT. Certifiers mail original Certification Opinion Letter to the Registry.
10. **Registry completes the certifier and participant's reporting process to the Registry:** Registry reviews the Certification Opinion Letter and evaluates the participant's Emission Report. Once accepted by the Registry, a participant's aggregated entity-level emissions become available to the public via CARROT.

***SUBSEQUENT CERTIFICATION:** Even in multi-year certification contracts, a certifier must repeat steps 1-10 for each year that it certifies annual GHG emissions results for submission to the Registry.*

Energy Commission visits to Registry participant's sites

As directed by SB 527, the Energy Commission may occasionally, and on a random basis, accompany certifiers on scheduled visits to Registry participant's site to do the following:

- observe the certifier in the performance of certification activities,
- evaluate whether the Registry participant has a program, consistent with Registry protocols, in place for the preparation and submittal of information to the Registry,
- evaluate the reasonableness of the emissions information being reported for a sample of estimates or calculations.

The Energy Commission will report to the Registry on these findings to further ensure that reported emissions accurately reflect annual emissions of greenhouse gases.

Applicable sections of SB 527

The following sections of the California Health and Safety Code are applicable to this RFA:

42801.1. For purposes of this chapter, the following terms have the following meanings:

- (c) "Certification" means the determination of whether a given participant's greenhouse gas emissions inventory (either baseline or annual result) has met a minimum quality standard and complied with an appropriate set of registry-approved procedures and protocols for submitting emissions inventory information. The process for certification of emissions results will be specified within the procedures and protocols approved for industry-specific emissions inventory reporting, and may involve a range of options depending upon the nature of the emissions, complexity of a company's facilities and operations, or both, and the procedures deemed necessary by the registry board to validate a participant's emissions information.

42823. The registry shall perform all of the following functions:

- (a) Provide participants with referrals to approved providers for technical assistance and advice, upon the request of a participant, on any or all of the following:
 - (1) Designing programs to establish greenhouse gas emissions baselines and to monitor, estimate, calculate, report, and certify greenhouse gas emissions.
 - (2) Establishing emissions reduction goals based on international or federal best practices for specific industries and economic sectors.
 - (3) Designing and implementing organization-specific plans that improve energy efficiency or utilize renewable energy, or both, and that are capable of achieving emissions reduction targets.
- (b) In coordination with the State Energy Resources Conservation and Development Commission, the registry shall adopt and periodically update a list of organizations recognized by the state as qualified to provide the detailed technical assistance and advice in subdivision (a) and assist participants in identifying and selecting providers that have expertise applicable to each participant's circumstances.
- (c) Adopt procedures and protocols for certification of reported baseline emissions and emissions results. When adopting procedures and protocols for the certification, the registry shall consider the availability and suitability of simplified techniques and tools.
- (d) Qualify third-party organizations that have the capability to certify reported baseline emissions and emissions results, and that are capable of certifying the participant-reported results as provided in this chapter.

42842. (a) Participants registering baseline emissions and emissions results in the registry shall provide certification of their methodologies and results. The registry board may, upon recommendation of the State Energy Resources Conservation

and Development Commission and the state board, following a public process, adopt simplified procedures to certify emissions results as appropriate. Participants shall follow registry-approved procedures and protocols in determining emissions, and supply the quantity and quality of information necessary to allow an independent ex post certification of the emissions baseline and emissions results reported under this program.

- (b) The registry shall adopt a list of approved third-party organizations recognized as competent to certify emissions results as provided in this chapter. The process for evaluating and approving their organizations shall be developed in coordination with the State Energy Resources Conservation and Development Commission. The registry may reopen the qualification process periodically in order for new organizations to be added to the approved list.
- (c) As appropriate, the registry shall refer participants to the organization on the approved list described in subdivision (b).
- (d) Where required by the registry for certification, organizations approved pursuant to subdivision (b) shall do all of the following:
 - (1) Evaluate whether the participant has a program, consistent with registry-approved procedures and protocols, in place for preparation and submittal of the information reported under this chapter.
 - (2) Check, during certification, the reasonableness of the emissions information being reported for a random sample of estimates or calculations.
 - (3) Summarize its review in a report to the board of directors, or equivalent governing body, of the participating entity, attesting to the existence of a program that is consistent with registry-approved procedures and protocols and the reasonableness of the reported emissions results and noting any exceptions, omissions, limitations, or other qualifications to their representations.
- (e) In conducting certification for a participant under this program, the approved organization shall schedule any meeting or meetings with the participant in advance at one or more representative locations and allow the participant to control property access. The meetings shall be conducted in accordance with a protocol that is agreed upon in advance by the participant and approved organization. The approved organization shall not perform facility inspection, direct measurement, monitoring, or testing unless authorized by the participant.
- (f) To ensure the integrity and constant improvement of the registry program, the State Energy Resources Conservation and Development Commission shall perform on a random basis an occasional review and evaluation of participants' emissions reporting, certifications, and the reasonableness of the emissions information being reported for analysis of estimates and calculations. The commission shall report any findings in writing to the registry. The registry shall include a summary of these findings in the biennial report

to the Governor and the Legislature required by Article 5 (commencing with Section 42860).

42870. The State Energy Resources Conservation and Development Commission shall do all of the following:

- (a) Develop a process to identify and qualify third-party organizations approved to provide technical assistance and advice, upon the request of a participant in any or all of the following areas:

- (1) Determining greenhouse gas emissions.
- (2) Developing industry-specific emissions reduction targets.
- (3) Developing and implementing efficiency improvement programs appropriate to various industries and economic sectors.

The process shall do all of the following:

- (A) Define the minimum technical and organizational capabilities and other qualifications approved firms are required to meet.
- (B) Call for applications or otherwise encourage interested organizations to submit their qualifications for review.
- (C) Evaluate Applicant organizations according to this list of qualification standards.
- (D) Recommend, not later than six months following the first registry board meeting, specific organizations to the registry as qualified to provide the technical assistance functions of this chapter.
- (E) Update the list of approved technical assistance providers periodically by doing all of the following:
 - (i) Reviewing the capabilities of already approved providers.
 - (ii) Reviewing applications of new providers.
 - (iii) Recommending to the registry specific organizations to be added to the approved list, and specific organizations no longer qualified to provide the technical assistance duties of this chapter.
- (c) Develop, not later than six months following the first registry board meeting, guidance to the registry on all of the following processes to facilitate participation in the program:
 - (6) Establishing procedures and protocols to certify greenhouse gas emissions baselines and emissions results.
- (d) Develop, not later than six months after the first meeting of the registry board, a process for qualifying third-party organizations recognized by the State of California as competent to certify the emissions results of the types of entities that may choose to participate in this registry, by doing all of the following:
 - (1) Developing a list of the minimum technical and organizational capabilities and other qualification standards that approved third-party organizations shall meet. Those qualifications shall include the ability to sign an opinion letter, for which they may be held financially at risk, and certifying the

participant-reported emissions results as provided in this chapter.

- (2) Publicizing an applications process or otherwise encouraging interested organizations to submit their qualifications for review.
 - (3) Evaluating Applicant organizations according to the list of qualifications described in paragraph (1).
 - (4) Recommending specific third-party organizations to the registry as qualified to certify participants' actual emissions results in accordance with this chapter.
 - (5) Periodically updating the list of approved third-party organizations by doing any of the following:
 - (A) Reviewing the capabilities of approved organizations.
 - (B) Reviewing applications of organizations seeking to become approved.
 - (C) Recommending to the registry specific organizations to be added to the approved list, and specific organizations no longer qualified to perform the duties of this chapter.
- (e) (1) Occasionally, and on a random basis, accompany third-party organizations on scheduled visits to observe and evaluate, during any certification visit, both the following:
- (A) Whether the participant has a program, consistent with registry-approved procedures and protocols, in place for the preparation and submittal of the information required under this chapter.
 - (B) The reasonableness of the emissions information being reported for a sample of estimates or calculations.

To help the registry report to the Legislature, the State Energy Resources Conservation and Development Commission shall report, in writing, to the registry on these findings to further ensure that reported emissions accurately reflect annual emissions of greenhouse gases.

APPLICATION FORMAT, REQUIRED DOCUMENTS, AND EVALUATION CRITERIA

About this part

This part provides applicants with information about how to prepare an application in response to this RFA. Applicants must follow all application format instructions, answer all questions, and supply all requested data.

The Energy Commission may reject any application that fails to comply with the items presented in this section.

What is the required format?

The following forms and topics constitute the mandatory order of presentation and content for an application. Provide one (1) original application, labeled as ORIGINAL on the cover page, and six (6) copies.

Section 1 - ADMINISTRATIVE RESPONSE

- Cover Page
- Company Summary Sheet
- Company Status Form
- Financial Capability
- Proof of Insurance
- Designated Staff Form
- Staff Resumes

Section 2 - TECHNICAL RESPONSE

- Knowledge
- Experience
- References
- Approach to Work

Section 3 - CONFLICT OF INTEREST

- Initial Screening for Organizational COI
- Declaration of Ability and Intent to Comply

Who needs to fill out what forms?

The forms, described in greater detail below, must be submitted by the applicant and may be required of partners and other related firms as well.

The cases below are provided as a general guide to firms to determine responsibility for submitting forms. More detailed information is provided as each form is described.

Case 1: The applicant submits an application wherein all of the staff are employed solely with the applicant, all cited experience is applicant experience, and the applicant is not owned by another company. Only the applicant will need to submit the required forms.

Case 2: The applicant submits an application wherein all of the staff are employed solely with the applicant, all cited experience is applicant experience; however, another firm has some share of ownership in the applicant firm. Only the applicant will need to submit the required forms. However, the applicant must include COI information on the parent firm.

Case 3: The applicant submits an application wherein staff or financial capability is shared with related firm(s), either a parent firm or a subsidiary of a parent firm. The applicant and related firm(s) are considered partners, and thus, must each submit administrative and COI forms as specified below.

Case 4: The applicant submits an application wherein staff is shared with a firm not financially or otherwise related to the applicant, i.e., a partner. The Applicant and partner must each submit administrative and COI forms as specified below.

Section 1 - ADMINISTRATIVE RESPONSE

Cover Page

- Each applicant must submit a Cover Page on company or organization letterhead using the format provided in the example, which is at the end of this document.

The cover page should list a company address, applicant contact, the contact e-mail and telephone number. The contact person should be knowledgeable of the application contents and be able to respond to any Energy Commission questions regarding the application or requests for additional information. The company address should be the mailing address for the applicant contact.

Company Summary Sheet

- Each applicant must submit a Company Summary Sheet using the format provided in the example, which is at the end of this document.

If your company is state and Registry-approved, the information contained in the Company Summary Sheet will be listed on the Energy Commission and Registry's web pages reserved for approved certifiers. The Company Summary Sheet should list your company name, mailing address, public contact name and title, contact phone number,

contact fax number, and contact e-mail address. (Note that you may choose an individual as a public contact different from the individual listed as the applicant contact.)

The summary sheet should also include a company website address, a two or three line description of the services your company (including partners) may offer to the Registry participants, and a one page (maximum) company abstract. The company abstract may be attached as a separate page. The Company Summary should also be submitted electronically; the abstract may be in either Word or pdf format and may include a company logo.

Company Status Form

- All certifiers must have been in existence for at least four continuous years prior to applying for state approval. Certifier existence will be evaluated on a case-by-case basis for companies that have undergone business changes that do not alter the nature of the services provided by that company, such as name changes or purchase by another company.

Each applicant and all partners must submit a Company Status Form using the format provided in the example form, which is at the end of this document.

The Company Status Form should list the company's Federal Employer ID #, identify the type of company structure, and if a corporation, the place and date of incorporation.

Evaluation Criteria Table 1: Company Existence

CRITERIA	SCORE
The applicant must have been in existence for at least four (4) years.	PASS/FAIL

Financial Capability

- All certifiers must have the financial stability and resources required for the operation of a certification company.

Each applicant and all partners must submit an audited financial statement for the previous year. If the financial statement is in the name of a parent or other company, the applicant must explain and provide proof of the financial relationship with the parent or other company. The application may reference the financial statement as a separate document, rather than incorporate it in the body of the application.

Evaluation Criteria Table 2: Financial Capability

CRITERIA	SCORE
The applicant must have adequate financial capability.	PASS/FAIL

Proof of Insurance

- All certifiers must have adequate arrangements to cover liabilities arising from the activities related to certification.

Each applicant and all partners must submit proof of insurance that will, at a minimum, cover the potential cost of certification activities. If the insurance is in the name of a parent or other company, the applicant must explain and provide proof of the financial relationship with the parent or other company.

Evaluation Criteria Table 3: Proof of Insurance

CRITERIA	SCORE
The applicant must have adequate insurance coverage.	PASS/FAIL

Designated Staff Form

- All certifiers must employ a sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing certification functions relating to the type, range and volume of work performed, under a responsible senior executive.

Each applicant and all partners, if any, must submit a Designated Staff Form using the format provided in the example form, located at the end of this document.

If partnering, the applicant and partners should submit separate forms within the application, which include only the staff they employ. A parent company or subsidiary is considered a partner and should submit separate forms within the application.

The Designated Staff Form should list the name of any staff that may provide certification services, their title, phone, email address, physical address, and an indication whether that staff person is employed with another company. No individuals will be allowed to provide certification services unless listed as designated staff. Certification services, in this context, include any services provided by the certifier during visits to a participant's site as a part of a certification. Certification services also include any significant services conducted away from the Registry participant's site, including calculating, analyzing, or reporting on a Registry participant's GHG emissions or emission data. Clerical or other administrative tasks are not considered certification activities.

Staff Resumes

- The combined level of staffing and staff expertise of the applicant and partners must be adequate to conduct certification for all potential Registry participants.

Each applicant and all partners, if any, must submit short resumes for all staff included in the Designated Staff Form. These resumes should describe job classifications, relevant experience, education, academic degrees, and professional licenses.

Evaluation Criteria Table 4: Level of Staffing

CRITERIA	SCORE
The applicant must have adequate staffing.	PASS/FAIL

Section 2 - TECHNICAL RESPONSE

Knowledge

All certifiers must possess knowledge of the key topics.

Each applicant, in conjunction with any partner, must demonstrate knowledge of key topics relevant to certification. The Applicant should explain how individual staff knowledge is updated through training or other means. Key topics relevant to certification include the following:

- the purpose of the Registry,
- the General Reporting and Certification Protocols,
- engineering principles,
- knowledge of information management systems,
- GHG emissions estimation techniques,
- evaluating air emissions inventories,
- auditing and accounting principles.

Evaluation Criteria Table 5: Knowledge

CRITERIA	POINTS
The applicant must demonstrate knowledge in:	
Purpose of the Registry and Registry Protocols	10
Engineering principles	10
Knowledge of information management systems	10
GHG emissions estimation techniques	10
Evaluating air emissions inventories	10
Auditing and accounting principles	10

Experience

All certifiers must have at least two (2) years experience in certification or verification of GHG or air emissions activities. The company must have performed relevant work under contract for at least two years prior to applying for state approval. Staff experience shall only

be considered as company experience if they were employed by the applicant when performing relevant work.

Each applicant must provide a minimum of three (3) examples of actual work products. These work products must have been produced by the applicant, not a partner (or parent company). For work products that were jointly produced by the applicant and a parent company, subsidiary, other company, the role of the applicant in the work product should be clearly explained.

Partners must also submit at least one (1) additional example of a work product. These work products will be taken into consideration when evaluating the sum of experience provided by the applicant and any partners.

These work products should be final reports or other materials provided to clients in previous work. Clearly label each example with the proposed applicant's name and sample number. These work products should demonstrate the applicant's ability to organize and manage a team of technical experts to effectively complete complex work tasks in a timely manner. The work products should be from different industry sectors and demonstrate a breadth of experience.

These work products may be designated as confidential or proprietary. However, all such information should be clearly marked on each page of all copies. This could be in the form of a classification stamp at the top and bottom of classified pages or boxes placed around specific paragraphs or annotations in the margin that clearly identify those sections that are proprietary. Alternatively, the work products may be redacted to protect confidential information, but should retain enough information to easily evaluate the experience of the applicant.

The Energy Commission will handle confidential information in a manner consistent with established Energy Commission regulations and policy as contained in CA Code of Regulations, Title 20, Sect. 2501 et seq.

On the submission date, all applications and related material submitted in response to this RFA become:

- the property of the State; and
- public record (with the exception of pages marked confidential or proprietary)

At the conclusion of the evaluation, all copies of proprietary or confidential information will be destroyed. The original application will be retained in its entirety, including proprietary or confidential information. No material will be returned to the applicant.

Evaluation Criteria Table 6: Experience

CRITERIA	POINTS
The applicant must have two (2) years experience.	PASS/FAIL
The applicant must provide three (3) work products.	PASS/FAIL
The applicant must demonstrate experience in:	
Managing teams undertaking complex projects	10
Engineering principles	10
GHG emissions estimation techniques	10
Evaluating air emissions inventories	10
Auditing and accounting principles	10

References

Each applicant and all partners shall complete a Customer Reference Form. References shall include the name of contact person, company and address, telephone and fax number. References shall coincide with each submitted project work example provided within the application.

Evaluation Criteria Table 7: References

CRITERIA	SCORE
How do the references evaluate the applicant's work?	*

* Response from references will be considered when scoring the other criterion.

Approach to work

Each applicant should describe the applicant's anticipated approach to certification work for Registry participants. The general and certification protocols are not definitive in all areas and sometimes require the certifier's own judgement and experience to be applied to special situations. For example, where existing protocol guidance is not specific enough alone to determine process and fugitive emissions of a certain entity, the applicant's own general approach to such situations may be applied. The applicant should describe the anticipated approach for such situations. For example, the description should explain how the applicant would undertake the following:

- scoping and planning a participant's certification activities
- coordinating with the Energy Commission before, during, and after site visits
- conducting certification activities
 - Identifying emissions sources
 - Reviewing methodologies and management systems
 - Verifying emission estimates
- preparing a participant's Certification Report and Certification Opinion
- submitting a participant-authorized Certification Opinion to the Registry

Evaluation Criteria Table 8: Approach to Work

CRITERIA	POINTS
The applicant must demonstrate an effective and efficient approach to:	
Scoping and planning	10
Coordinating with the Energy Commission	10
Conducting certification activities	10
Preparing a certification report and opinion	10
Coordinating with the Registry	10

Section 3 - CONFLICT OF INTEREST

The Energy Commission seeks to avoid situations where certifiers engage in activities that pose a COI.

Applicants should read and thoroughly understand the Energy Commission's COI policy contained in the document: Conflict of Interest Process and Requirements For State and Registry-Approved Certifiers. The document can be accessed on the Energy Commission's website at <www.energy.ca.gov/global_climate_change/documents/>.

If the COI policy, requirements, or process changes, the Energy Commission will notify the certifiers, and identify any new information that they must submit to keep their approval status valid. Certifiers must update their applications to remain current with the latest COI requirements. Certifiers who do not comply with the most current COI requirements will lose their standing as a state-approved certifier.

Definitions

For the purposes of this document, conflict of interest is defined as a situation in which, because of other activities or relationships with other persons or organizations, a person or firm is unable or potentially unable to render an impartial certification opinion (of a potential client's GHG emissions), or the person or firm's objectivity in performing certification activities is or might be otherwise compromised.

Organizational COI is defined as instances where the services provided by, shared management of, or other situations created by a parent company or other related entities have the potential to create COI situations.

Policy

The relationship between certifiers and Registry participants must not create or appear to create a conflict of interest. While conducting certification activities for Registry participants, the certifier must work in a credible, independent, non-discriminatory and transparent manner, complying with applicable state and federal law and the current version of the Energy Commission's: Conflict of Interest Process and Requirements For State and Registry-Approved Certifiers.

Confidentiality

The Energy Commission will enter into confidentiality agreements with certifiers and Registry participants as necessary to evaluate potential COI, following Energy Commission regulations as contained in CA Code of Regulations, Title 20, Sect. 2501 et seq. The Energy Commission stresses that it is committed to protecting sensitive business and other information to the full extent permitted by law. The Energy Commission also urges certifiers to identify confidential business information in its effort to fully disclose any potential COI.

Process and Requirements

The COI process consists of the four steps below.

During the certifier qualification process:

1. The Energy Commission will screen applicants for organizational COI. During the application process the applicant will provide the Energy Commission with the necessary information for it to make this determination.
2. Applicants will sign a declaration stating their ability to perform a case-by-case evaluation of COI and their intent to comply with the Energy Commission's COI process and requirements.

As a state and Registry-approved certifier:

3. A state-approved certifier will submit a case-by-case COI evaluation to the Energy Commission for each Registry participant with whom they propose to conduct certification, and the Energy Commission will make a determination of the potential COI, before the certifier will be allowed to begin certification activities.
4. The certifier will monitor, report to the Energy Commission, and mitigate any COI situations that arise during, and for one year after, certification of a Registry participant's emissions results.

This process is more fully discussed in Conflict of Interest Process and Requirements For State and Registry-Approved Certifiers.

Initial screening for organizational COI

If the applicant submits an application wherein staff or financial capability is shared with either a parent firm or subsidiary of a parent firm, then that parent or subsidiary shall be considered a partner. Partners must provide necessary information and submit COI forms as described below. If the applicant is part of a larger organization, but the application does not include any staff or financial capability from the larger organization, then the larger organization shall not be considered a partner and does not need to submit COI forms. However, information on the larger organization will be required as described below.

An applicant and all partners, if any, shall have a documented structure, which safeguards impartiality, including provisions to ensure impartiality of its operations. An applicant and all partners must demonstrate that it does not have any organizational COI, or has taken steps to mitigate any potential organizational COI. That is, they will disclose instances where the

services provided by, shared management of, or other situations created by a parent company or other related entities have the potential to create COI situations.

If the applicant or partner is part of a larger organization, and where parts of that organization are, or may become, involved in the identification, development or financing of any GHG related activity, the Applicant must submit information detailing the financial and legal relationships between the companies. The applicant shall provide the information requested below as it pertains to the larger organization.

The applicant and all partners shall provide the information requested below; or, alternately may provide the information submitted as part of the application process for a Designated Operational Entity (DOE) under the Kyoto Protocol's Clean Development Mechanism. The Energy Commission will evaluate the applicant's organizational COI based on the information submitted in response to the items below.

1. Document the structure of your company that will safeguard your impartiality by identifying potential sources of conflict of interest.
2. Identify and describe any committees or structures, which protects and ensures your companies impartiality.
3. If your company is a single entity with defined operations, scopes and locations, please identify those operations, scopes, and locations.
4. If your company is part of a larger organization involved in several activities and services, please identify those activities and services.
5. If your company is part of a larger organization, where parts of that organization are, or may become, involved in the identification, development or financing of any GHG related activity, please provide the following information:
 - a) a declaration of all the larger organization's actual and planned involvement in GHG related activities in the form of a matrix or spreadsheet of each activity and what part of the firm anticipates involvement in a given activity;
 - b) evidence of how the organization's planned involvement in GHG related activities is compatible with your companies certification activities; and, evidence that the functions of your company as a certifier does not conflict with any other function that the larger company may have, or if so, how those conflicts will be managed;
 - c) documentation clearly defining the links and management structures, which separate the functions of your company and other parts of the larger organization.
6. Demonstrate how your company's certification business is managed and any other business in which your company is involved with, or with other related organizations;
7. Demonstrate your companies functional or structural link (common ownership, contractual arrangement, informal contract) with other related bodies (holding companies, parent companies, subsidiaries, affiliates, etc.); Provide evidence that your company does not distribute or return any of its profits to any other organization which could cause a conflict of interest, or if so, how those conflicts will be managed.
8. Identify all potential sources of conflict of interest between your company and/or among related bodies.
9. Identify steps taken in order to minimize any risks to your company's impartiality.

10. Document policies and arrangements that demonstrate your company's independence in its operations.
11. Identify procedures and records to demonstrate that your company's staff and senior management are not involved in any commercial, financial or other processes that might influence their judgment.
12. Identify arrangements for the identification of situations involving COI and measures that address and resolve those situations in a timely and responsible manner.

Evaluation Criteria Table 9: Organizational COI

CRITERIA	SCORE
The applicant must identify all potential organizational COI and demonstrate that measures have been taken to avoid or mitigate COI.	PASS/FAIL

Declaration of ability and intent to comply

- The applicant and any partners must each sign and submit a COI Declaration of Ability and Intent to Comply Form. This is a declaration of the ability to perform a case-by-case evaluation of COI and intent to comply with COI process and requirements.

The applicant and any partners must also submit supporting documentation detailing the mechanism for compliance (e.g., a databases or other software that have search capabilities that allow a company to determine past or existing contracts with a potential client) including policy documents that constrain activities that may represent potential COI. While the Energy Commission requires a documented mechanism, the Energy Commission will not require that certifiers establish any particular type or format of information retrieval system as a mechanism for compliance.

Evaluation Criteria Table 10: COI Declaration

CRITERIA	SCORE
The applicant must submit a complete COI Declaration of Ability and Intent to Comply Form.	PASS/FAIL

APPLICATION EVALUATION

Evaluation stages

The applications will be evaluated in three stages:

Stage One: Fulfillment of RFA Mandatory Format

The Energy Commission will first screen the applications to determine compliance with the mandatory format and completeness. Applicants may be asked for additional information if applications are incomplete. Applications that do not follow the mandatory format may be eliminated from the approval process, if corrections are not made by the applicant as requested by the Energy Commission.

Stage Two: Evaluation of Qualifications

The Energy Commission will organize an Evaluation Committee to review and score all applications that are complete and meet the required format. Evaluation Committee members will base evaluations on the Evaluation Criteria contained in the text of this document and summarized below in Table 10.

Stage Three: Interviews

For applications that do not meet the minimum required score, or are close to the minimum required score, the Evaluation Committee will conduct interviews with applicants to clarify the applicant's qualifications. Upon completion of the interviews, the Evaluation Committee may make adjustments to the scores obtained in Stage Two: Evaluation of Qualifications.

Point considerations

The applicant must achieve a passing score for each PASS/FAIL criteria to be considered for state approval. For applicants that meet all of the PASS/FAIL criteria, the Evaluation Committee will pass or fail applicants based upon the following point considerations:

Pass: 120 - 160

Fail: 0 - 119

Criteria and points

The Evaluation Committee will review the applications of applicants based on the Evaluation Criteria contained in Table 10.

Evaluation Criteria Table 11

CRITERIA	POINTS
ADMINISTRATIVE RESPONSE	
Does the applicant have:	
At least four (4) years existence?	PASS/FAIL
Adequate financial capability?	PASS/FAIL
Adequate insurance coverage?	PASS/FAIL
Adequate staffing?	PASS/FAIL
TECHNICAL RESPONSE	
Has the applicant demonstrate knowledge in:	
Purpose of the Registry and Registry Protocols	10
Engineering principles	10
Knowledge of information management systems	10
GHG emissions estimation techniques	10
Evaluating air emissions inventories	10
Auditing and accounting principles	10
Does the applicant have two (2) years experience.	PASS/FAIL
Does the applicant provide three (3) work products.	PASS/FAIL
Has the applicant demonstrate experience in:	
Managing teams undertaking complex projects	10
Engineering principles	10
GHG emissions estimation techniques	10
Evaluating air emissions inventories	10
Auditing and accounting principles	10
Has the applicant demonstrate an effective and efficient approach to:	
Scoping and planning	10
Coordinating with the Energy Commission on site visits	10
Conducting certification activities	10
Preparing a certification report and opinion	10
Coordinating with the Registry	10
CONFLICT OF INTEREST	
Has the applicant :	
Disclosed potential organizational COI?	PASS/FAIL
Complete COI Declaration of Ability and Intent to Comply Form?	PASS/FAIL

* Response from references will be considered when scoring the other criterion.

On what grounds would my application be rejected?

This RFA contains the instructions governing the requirements for an application to be submitted by an interested applicant, the format in which the application information is to be submitted, the material to be included, the requirements which must be met to be eligible for consideration, and the applicant's responsibilities.

An application shall be rejected if:

- It is received after the deadline established for receipt of the application
- It contains false or intentionally misleading statements or references which do not support an attribute or condition contended by the applicant
- If the application is intended to erroneously and fallaciously mislead the State in its evaluation of the application and the attribute, condition, or capability is a requirement of this RFA
- It is not prepared in the mandatory format described
- It is unsigned
- The entire application or an excessive portion of the application is classified as proprietary or confidential
- If either the state of Evaluation Committee determines the applicant represents an unacceptable level of risk of COI with the functions of the Energy Commission's Climate Change Program or the Registry.

The Energy Commission may waive any immaterial defect or deviation contained in an applicant's application. The Energy Commission's waiver shall in no way modify the application or excuse the applicant from full compliance.

An applicant cannot dispute Energy Commission rejection of applications for the causes listed above.

Can I dispute the evaluation?

Yes. If your application receives a failing score in the evaluation process, you may dispute the evaluation.

What is the appeal process?

You may dispute decisions of the Evaluation Committee by first making an Appeal to the Evaluation Committee. An Appeal shall consist of an applicant's application and written counter-arguments as to why the application meets the criteria and minimum score outlined in this RFA. If not satisfactorily resolved, you may make a subsequent Appeal to the Registry President and the Energy Commission's Transportation Committee.

ADMINISTRATIVE INFORMATION

How do I deliver my application?

An applicant may deliver an application by:

- U.S. Mail,
- In person, or
- Messenger service.

E-mail or facsimile (FAX) transmissions SHALL NOT be accepted in whole or in part.

Where do I deliver my application?

All application's must be delivered to:

California Energy Commission
Attn: Jeff Wilson
1516 Ninth Street, MS - 41
Sacramento, CA 95814

How many copies do I submit?

Each applicant must mail or deliver **an original application and six (6) copies** to the address given above. The applicant must submit the copies in a sealed envelope labeled Statement of Qualifications, RFA January 2003.

What is the deadline for submitting an application?

Each applicant is solely responsible for delivery of an application to the Energy Commission. The Energy Commission will not accept late applications.

The deadline for application submission is February 28, 2003.

Applicant's cost

The applicant is responsible for the cost of developing an application and this cost cannot be charged to the State.

What if I decide to modify or withdraw my application?

An applicant may, by letter to the Energy Commission's Contact Person, withdraw or modify a submitted application prior to the application submission date.

Can the application contain confidential or proprietary information?

Yes. However, all such information should be clearly marked on each page of all copies. This could be in the form of a classification stamp at the top and bottom of classified pages or boxes placed around specific paragraphs or annotations in the margin that clearly identify those sections that are proprietary. Classifying an entire application as proprietary or confidential will result in its rejection.

The Energy Commission will handle confidential information in a manner consistent with established Energy Commission regulations and policy as contained in CA Code of Regulations, Title 20, Sect. 2501 et seq.

How do I know if I've been approved as qualified?

Subsequent to the evaluation of applicant qualifications, the Energy Commission will send a Letter of Approval by United States Postal Service.

What happens to my documents?

On the submission date, all applications and related material submitted in response to this RFA become:

- the property of the State; and
- public record (with the exception of pages marked confidential or proprietary)

All proprietary or confidential information submitted as part of an Applicant's application should be clearly marked as confidential. At the conclusion of the evaluation, all copies of proprietary or confidential information will be destroyed. The original application will be retained in its entirety, including proprietary or confidential information.

NO material will be returned to the applicant.

Can the Energy Commission cancel this RFA?

Yes, if it is in the State's best interest, the Energy Commission reserves the right to do any of the following:

- Cancel this RFA,
- Amend this RFA as needed; or
- Reject any or all applications received in response to this RFA

Can the Energy Commission amend this RFA?

Yes. If the RFA must be amended before the submission deadline, then the Energy Commission will notify all applicants that participated in the conference call. If the RFA must be amended after the submission deadline, then the Energy Commission will mail a formal written addendum to all parties that have submitted applications. The Energy Commission will also post it on the Energy Commission's web site at www.energy.ca.gov/global_climate_change/.

If an applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the RFA, the applicant shall immediately notify the Energy Commission of such error in writing and request modification or clarification of the document. Clarifications will be given by written notice to all parties who have obtained a RFA without divulging the source of the request for clarification. The Energy Commission shall not be responsible to correct errors for this RFA.

Updating the RFA---meeting new requirements

The Energy Commission may periodically update the requirements for state-approved certifiers. The Energy Commission will notify certifiers in writing of modifications to the requirements for state approval of certifiers. Certifiers will be given a minimum of 30 days to provide any additional information needed to satisfy the requirements. In the event that a certifier is unable to meet any additional requirements, the Energy Commission, in consultation with the Registry, may de-list a certifier as state-approved. All requirements will appear in subsequent RFAs.

Adding or deleting designated staff

An applicant who is state-approved may add or delete staff at any time. To add or delete designated staff after being approved, the applicant will need to submit the Designated Staff Form, with the staff information, and notation if staff are to be deleted. For staff that are to be added, the applicant should describe job classifications, relevant experience, education, academic degrees, professional licenses for technical staff members and their respective roles.

Certifiers should be aware that if staff levels fall below an acceptable level, the certifier may be de-listed as a state-approved certifier. The Energy Commission determines acceptable levels of staffing on a case-by-case basis, considering individual staff qualifications.

How are certifiers paid?

State-approved firms DO NOT work for the Energy Commission or Registry, nor will they be paid by the Energy Commission or Registry, as a result of this qualification process.

Firms that are approved by the state as qualified to provide certification services to a Registry participant will be placed on an Energy Commission list. After a firm fulfills any additional Registry requirements, the Registry will list the firm on the Registry list of approved service providers. Then, Registry participants may select firms from these lists to provide services at the participant's request. The terms and conditions of payment will be the responsibility of the Registry participant and the certifier.

Are there additional steps before certifiers will be able to provide services?

Yes. After a firm is approved through the qualification process described in this RFA, the Energy Commission will provide the Registry with a list of state-approved certifiers. At this point, the Registry may have additional requirements that the certifier may have to fulfill before the Registry lists a certifier as approved to provide services to Registry participants. These requirements may include certification training sessions or administrative requirements.

Consequences of violation

In the event that the above terms are violated or are suspected of being violated, the Energy Commission in consultation with the Registry, in its discretion, may disqualify a state-approved certifier.

COMPANY LETTERHEAD

COVER SHEET

JANUARY 2003

APPLICATION TO QUALIFY AS CERTIFIER FOR PARTICIPANTS IN THE CALIFORNIA CLIMATE ACTION REGISTRY

To: **California Energy Commission**
1516 Ninth Street, MS - 41
Sacramento, CA 95814

Attention: **Jeff Wilson**
Jewilson@energy.state.ca.us
(916) 657-4774

From: *Company Name*
Company Address

Attention: *Application Contact*
Contact E-mail
Contact Telephone Number

COMPANY SUMMARY SHEET

The information provided in this form may be listed on the California Energy Commission and California Climate Action Registry's websites. This information should also be provided by-email to <jewilson@energy.state.ca.us>.

Company Name

Mailing Address

Public Contact Name, Contact Title

Contact Phone Number

Contact Fax Number

Contact E-mail Address (if any)

Company Website Address

A two or three line description of the services your company may offer to the Registry participants.

A one page, maximum company abstract (you may attach the company abstract as a separate page).

COMPANY STATUS FORM

Company Name:

County & State:

Federal Employer ID#:

STATUS OF COMPANY PROPOSING TO DO BUSINESS

☐ Corporation ☐ Partnership ☐ Individual ☐ Other

CORPORATION

If a corporation, place and date of incorporation:

Date corporation was authorized by Secretary of State:

President:

Vice President:

Secretary:

Treasurer:

Other Officers:

PARTNERSHIP

If a partnership, list each partner, including limited partners, stating their true name and their interest in the partnership:

INDIVIDUAL

If a sole proprietorship, state the true name of sole proprietor:

OTHER

Explain:

DESIGNATED STAFF FORM

The address listed for the first individual will be assumed to be a default address. If other individuals have the same address, it need not be repeated.

Company employing staff:

1. Name: Phone:
Title: E-mail Address:
Address:
Currently employed by another firm ☐ Yes ☐ No

2. Name: Phone:
Title: E-mail Address:
Address:
Currently employed by another firm ☐ Yes ☐ No

3. Name: Phone:
Title: E-mail Address:
Address:
Currently employed by another firm ☐ Yes ☐ No

4. Name: Phone:
Title: E-mail Address:
Address:
Currently employed by another firm ☐ Yes ☐ No

5. Name: Phone:
Title: E-mail Address:
Address:
Currently employed by another firm ☐ Yes ☐ No

6. Name: Phone:
Title: E-mail Address:
Address:
Currently employed by another firm ☐ Yes ☐ No

REFERENCES

Please list at least one reference for each work example provided as proof of experience. The reference should be the client company's Project Manager or someone with equivalent knowledge of the work performed by the applicant. You may list more than one reference for a single work example.

1. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

2. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

3. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

4. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

5. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

6. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

7. Work Example:

Client Company:

Reference Name:

Title:

Phone:

E-mail Address:

CONFLICT OF INTEREST DECLARATION OF ABILITY AND INTENT TO COMPLY

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the applicant to the Conflict of Interest provisions listed below.

<i>Applicant Firm Name (Printed)</i>	<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date</i>	

CONFLICT OF INTEREST: The applicant agrees to comply with the following requirements:

A state-approved certifier agrees to comply with the Energy Commission's current Conflict of Interest Process and Requirements for State and Registry-approved Certifiers.

A state-approved certifier shall demonstrate the ability to determine conflict of interest on a case-by-case basis to the satisfaction of the Energy Commission.

A state-approved certifier shall not provide certification services to a Registry participant for whom they have provided any non-certification services that could result in a conflict of interest, as determined by the Energy Commission, in the prior three years.

A state-approved certifier shall not engage in any non-certification services that could result in a conflict of interest, as determined by the Energy Commission, for a Registry participant for whom they have performed certification services for one year after the completion of certification.

A state-approved certifier may not provide certification services for a Registry participant for more than six (6) consecutive years.

A state-approved certifier may not provide certification services for a Registry participant for a period of three (3) years following any lapse in certification services to the client.

CONSEQUENCES OF VIOLATION

In the event that terms of the current Conflict of Interest Process and Requirements for State and Registry-approved Certifiers are violated or are suspected of being violated, the Energy Commission, in consultation with the Registry, in its discretion, may disqualify a state-approved certifier.